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Atty. Docket No.: 18396/2002B PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of: Sale, et al.  
Serial No.: 10/733,532  
Filed: December 11, 2003  
Entitled: Method for Generating Diversity

Examiner: Not Yet Assigned  
Group Art Unit: 1632  
Conf. No.: 9057

**CERTIFICATE OF MAILING UNDER 37 C.F.R. § 1.8a**

I hereby certify that this correspondence (and any paper or fee referred to as being enclosed) is being deposited with the United States Post Office as First Class Mail on the date indicated above in an envelope addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Kathleen M. Williams

Name of Person Mailing Paper

Signature of Person Mailing Paper

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**REQUEST FOR CORRECTED FILING RECEIPT**

Sir:

Applicant requests issuance of a corrected Official Filing Receipt for the above-identified patent application.

**The attached filing receipt lists priority as follows:**

**Domestic Priority data as claimed by applicant:**

This application is a CON of PCT/GB02/02688 06/11/2002

**THE CORRECT FILING RECEIPT SHOULD CLAIM PRIORITY AS FOLLOWS:**

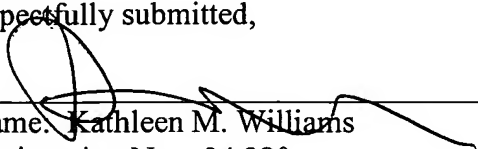
**Domestic Priority data as claimed by applicant:**

This application is a CON of PCT/GB/0202688 06/11/2002  
which claims priority to 09/879,813 06/11/2001  
and 10/146,505 05/15/02

The corrected priority claim was made on the enclosed Preliminary Amendment which was filed with the application on December 11, 2003. A copy of the official Filing Receipt is enclosed with the correction(s) highlighted in red. It is believed that no further fees are due for this application.

Respectfully submitted,

Date: 8/31/04

  
Name: Kathleen M. Williams

Registration No.: 34,380

Customer No.: 29933

Palmer & Dodge LLP

111 Huntington Avenue

Boston, MA 02199-7613

Tel: 617-239-0100



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Kathleen M. Williams

Name of Person Mailing

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Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**TRANSMITTAL LETTER**

Enclosed for filing in the above-identified patent application, please find the following documents:

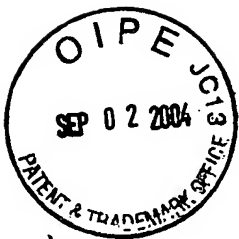
1. Request for Corrected Filing Receipt;
2. Copy of Filing Receipt of 08/10/2004 with changes indicated in red;
3. Copy of Preliminary Amendment as filed on December 11, 2003;
4. Copy of Application Data Sheet as filed on December 11, 2003;
5. Copy of Patent Application Transmittal as filed on December 11, 2003; and
6. Return Postcard.

The Commissioner is hereby authorized to charge any fees due in this patent application to Deposit Account Number 16-0085, Reference Number 18396/2002B. A duplicate of this Transmittal Letter is enclosed for this purpose.

Respectfully submitted,

Date: 8/31/04

Name: Kathleen M. Williams  
Registration No.: 34,380  
Customer No.: 29933  
Palmer & Dodge LLP  
111 Huntington Avenue  
Boston, MA 02199-7613  
Tel: 617-239-0100



Atty. Docket No.: 18396/2002B

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of: Sale, et al.  
Serial No.: 10/733,532  
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Group Art Unit: 1632

Conf. No.: 9057

COPY

CERTIFICATE OF MAILING UNDER 37 C.F.R. § 1.8a

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Kathleen M. Williams

Name of Person Mailing

Signature of Person Mailing Paper

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

TRANSMITTAL LETTER

Enclosed for filing in the above-identified patent application, please find the following documents:

1. Request for Corrected Filing Receipt;
2. Copy of Filing Receipt of 08/10/2004 with changes indicated in red;
3. Copy of Preliminary Amendment as filed on December 11, 2003;
4. Copy of Application Data Sheet as filed on December 11, 2003;
5. Copy of Patent Application Transmittal as filed on December 11, 2003; and
6. Return Postcard.

The Commissioner is hereby authorized to charge any fees due in this patent application to Deposit Account Number 16-0085, Reference Number 18396/2002B. A duplicate of this Transmittal Letter is enclosed for this purpose.

Respectfully submitted,

Date: 8/31/04

Name: Kathleen M. Williams  
Registration No.: 34,380  
Customer No.: 29933  
Palmer & Dodge LLP  
111 Huntington Avenue  
Boston, MA 02199-7613  
Tel: 617-239-0100



## UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
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APPL NO.	FILING OR 371 (c) DATE	ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLMS	IND CLMS
10/733,532	12/11/2003	1632	665	18396/2002B	34	31	3

29933  
 PALMER & DODGE, LLP  
 KATHLEEN M. WILLIAMS  
 111 HUNTINGTON AVENUE  
 BOSTON, MA 02199



COPY

CONFIRMATION NO. 9057

## FILING RECEIPT



\*OC000000013497137\*

Date Mailed: 08/10/2004

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Filing Receipt Corrections, facsimile number 703-746-9195. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Julian Edward Sale, Cambridge, UNITED KINGDOM; ✓  
 Michael Samuel Neuberger, Cambridge, UNITED KINGDOM;  
 Sarah Jane Cumbers, Cambridge, UNITED KINGDOM;

## Assignment For Published Patent Application

Medical Research Council;

## Domestic Priority data as claimed by applicant

This application is a CON of PCT/GB02/02688 06/11/2002

which claims priority to 09/879,813 06/11/01  
 and 10/146,505 05/15/02

## Foreign Applications

If Required, Foreign Filing License Granted: 08/10/2004

Projected Publication Date: To Be Determined - pending completion of Missing Parts

Non-Publication Request: No

Early Publication Request: No

\*\* SMALL ENTITY \*\* ✓

**Title**

Method for generating diversity ✓

**Preliminary Class**

435

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**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).



Atty. Docket No.: 18396/2002B PATENT  
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of: Sale et al  
Serial No.: Not Yet Assigned  
Filed: December 11, 2003  
Entitled: Method for Generating Diversity

Examiner: Not Yet Assigned  
Group Art Unit: Not Yet Assigned  
Conf. No.: Not Yet Assigned

**CERTIFICATE OF MAILING UNDER 37 CFR 1.10**

I hereby certify that the paper (and any paper or fee referred to as being enclosed) is being deposited with the United States Postal Service using Express Mail to Addressee Service, under 37 C.F.R. Section 1.10, **Express Mail Label No. EL932931210US** on this date, **December 11, 2003**, postage prepaid, in an envelope addressed to Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Kathleen Williams

Name of Person Mailing Paper

*Kathleen Williams*  
Signature of Person Mailing Paper

Mail Stop Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**PRELIMINARY AMENDMENT**

Sir:

This paper is supplemental to our filing of December 11, 2003. Applicants believe that no fee is due with this filing; however, please charge any necessary fees required in connection with the paper transmitted herewith to Deposit Account No. 16-0085, Reference No.: 18396/2002B.

**Amendments to the Specification** begin on page 2 of this paper.

**Remarks** begin on page 3 of this paper.

Applicants respectfully request entry of the amendments and remarks.

Amendments to the Specification:

On page 1 of the specification, please insert the following paragraph after the title of the Application:

**Related Applications**

--This application is a continuation of International application number PCT/GB02/02688, filed June 11, 2002, which claims priority to U.S. Application Serial Nos. 10/146,505, filed May 15, 2002, and 09/879,813, filed June 11, 2001, all of which are incorporated herein by reference in their entirety.—



**REMARKS**

Applicant submits that all claims are allowable as written and respectfully request early favorable action by the Examiner. If the Examiner believes that a telephone conversation with Applicant's attorney/agent would expedite prosecution of this application, the Examiner is cordially invited to call the undersigned attorney/agent of record.

Respectfully submitted,

Date: December 11, 2003



---

Kathleen M. Williams  
Registration No.: 34,380  
Customer No.: 29933  
Palmer & Dodge LLP  
111 Huntington Avenue  
Boston, MA 02199-7613  
Telephone: (617) 239-0100  
Telecopier: (617) 227-4420



Express Mail Label No: EL932931210US  
Date of Deposit: December 11,  
2003

### Application Data Sheet

#### **Application Information**

Application Type:: Regular  
Subject Matter:: Utility  
Suggested Classification::  
Suggested Group Art Unit::  
CD-ROM or CD-R:: None  
Sequence submission: None  
Computer Readable Form (CRF):: No  
Number of copies of CRF:: None  
Title:: Method for Generating Diversity  
Attorney Docket Number:: 18396/2002B  
Request for Early Publication?:: No  
Request for Non-Publication?:: No  
Suggested Drawing Figure:: 1  
Total Drawing Sheets::  
Small Entity:: Yes  
Petition Included:: Yes  
Secrecy Order in Patent Application?:: No

COPY

#### **Applicant Information**

##### **Inventor Information**

Inventor One Given Name: Julian Edward  
Family Name: Sale

Postal Address Line One: MRC Laboratory of Molecular Biology

Postal Address Line Two: Hills Road

City: Cambridge

State/Province: CB2 2QH

Country: United Kingdom

Postal or Zip Code:

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State/Prov. of Residence: CB2 2QH

Country of Residence: United Kingdom

Citizenship: United Kingdom

Inventor Two Given Name: Michael Samuel

Family Name: Neuberger

Postal Address Line One: MRC Laboratory of Molecular Biology

Postal Address Line Two: Hills Road

City: Cambridge

State/Province: CB2 2QH

Country: United Kingdom

Postal or Zip Code:

City of Residence: Cambridge

State/Prov. of Residence: CB2 2QH

Country of Residence: United Kingdom

Citizenship: United Kingdom

Inventor Three Given Name: Sarah Jane

Family Name: Cumbers

Postal Address Line One: MRC Laboratory of Molecular Biology

Postal Address Line Two: Hills Road

City: Cambridge

State/Province: CB2 2QH

Country: United Kingdom

Postal or Zip Code:

City of Residence: Cambridge  
State/Prov. of Residence: CB2 2QH  
Country of Residence: United Kingdom  
Citizenship: United Kingdom

### Correspondence Information

Correspondence Customer Number:: 29933

### Representative Information

Representative Information Number::	29933
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### Domestic Priority Information

Application::	Continuity Type::	Parent Application::	Parent Filing Date::
This application	Continuation of	PCT/GB02/02688	11 June 2002
	Which claims priority to	09/879,813	11 June 2001
	and	10/146,505	15 May 2002

### Foreign Priority Information

Country::	Application Number::	Filing Date::	Priority Claimed::

### **Assignee Information**

Assignee Name:: Medical Research Council



## UNITED STATES UTILITY PATENT APPLICATION TRANSMITTAL

Atty. Docket No.: 18396/2002B

**CERTIFICATE OF MAILING UNDER 37 CFR 1.10**

I hereby certify that the paper (and any paper or fee referred to as being enclosed) is being deposited with the United States Postal Service using Express Mail to Addressee Service, under 37 C.F.R. Section 1.10, **Express Mail Label No. EL932931210US** on this date, **December 11, 2003**, postage prepaid, in an envelope addressed to Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Kathleen Williams

Name of Person Mailing Paper

Signature of Person Mailing Paper

Mail Stop Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

COPY

**Enclosed herewith is a new patent application of:**

First Named Inventor (or application identifier): Sale et al

Title of Invention: Method for Generating Diversity

- Type: ☐ New  
☒ Continuation of: PCT/GB02/02688  
☐ Continuation-in-Part of:  
☐ Divisional of:

which is hereby incorporated by reference in its entirety into the application filed herewith;

**and includes the following papers:**

1. ☒ Specification 67 pages (including specification, claims, abstract)/31 claims (4 independent)
2. ☒ Declaration/Power of Attorney is:  
☐ Executed ☐ Unexecuted ☐ Executed copy from Parent Application  
☒ NOT included, but deferred under 37 C.F.R. § 1.53(f).
3. ☐ 34 Distinct sheets of ☐ Formal ☒ Informal Drawings
4. ☒ Application Data Sheet
5. ☐ Preliminary Amendment.
6. ☒ Information Disclosure Statement  
☒ Form 1449 ☒ A copy of each cited prior art reference (as necessary)
7. ☐ Assignment with Recordation Cover Sheet.
8. ☐ Priority is hereby claimed under 35 U.S.C. § 119 based upon the following application(s):

Country	Application Number	Date of Filing (day, month, year)

9. ☒ Priority is hereby claimed under 35 U.S.C. § 120 based upon the following application(s):

Application Number	Date of Filing (day, month, year)
09/879,813	11 June 2001
10/146,505	15 May 2002
PCT/GB02/02688	11 June 2002

10. ☐ Priority is hereby claimed under 35 U.S.C. § 121 based upon the following application(s):

# NEW UNITED STATES UTILITY PATENT APPLICATION TRANSMITTAL

Atty. Docket No.: 18396/2002B

Application Number	Date of Filing (day, month, year)

The above applications from which priority is claimed are hereby incorporated in their entirety into the application filed herewith.

11. ☐ Priority document(s).
12. ☐ Microfiche Computer Program (Appendix).
13. ☐ Nucleotide and/or Amino Acid Sequence Submission.  
     ☐ Computer Readable Copy.  
     ☐ Paper Copy (identical to computer copy).  
     ☐ Statement verifying identity of above copies.
14. ☐ Request for Non-Publication and Certification under 35 USC 122 (b)(2)(B)(i)
15. ☒ Statement of Small Entity Status, Pursuant to 37 C.F.R. §1.27.
16. Calculation of Fees:

FEES FOR	TOTAL CLAIMS	EXCESS CLAIMS	FEE	AMOUNT DUE
Basic Filing Fee (37 C.F.R. § 1.16(a))				\$770.00
Total Claims in Excess of 20 (37 C.F.R. § 1.16(c))	35	15	\$18.00	\$270.00
Independent Claims in Excess of 3 (37 C.F.R. § 1.16(b))	4	1	\$86.00	\$86.00
Multiple Dependent Claims (37 C.F.R. § 1.16(d))	No		\$290.00	\$1126.00
Subtotal - Filing Fee Due				\$1126.00
Reduction by 50%, if Small Entity (37 C.F.R. §§ 1.9, 1.27, 1.28)	MULTIPLY BY 0.50			\$563.00
TOTAL FILING FEE DUE				\$563.00
Assignment Recordation Fee (if applicable) (37 C.F.R. § 1.21(h))	0		\$40.00	
GRAND TOTAL DUE				\$563.00

17. PAYMENT is:  
☒ included in the amount of \$563.00 by our enclosed check. The Commissioner is hereby authorized to charge any deficiencies in the fees to Deposit Account 16-0085, Ref. 18396/2002B.  
☐ not included, but deferred under 37 C.F.R. § 1.53(f).

18. All correspondence for the attached application should be directed to:

Kathleen Williams  
 Customer Number 29933  
 111 Huntington Avenue  
 Boston, MA 02199-7613

19. Other: \_\_\_\_\_

Respectfully submitted,

Date: December 11, 2003

By:

Name: Kathleen Williams  
 Registration No.: 34,380